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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/822,205	04/09/2004	Hong Zhao	213.1152-CIP	3686

20311 7590 12/27/2005

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EXAMINER

VIVLEMORE, TRACY ANN

ART UNIT	PAPER NUMBER
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1635

DATE MAILED: 12/27/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/822,205

Applicant(s)

ZHAO ET AL.

Examiner

Tracy Vivlemore

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 1 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 13 June 2005.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-26 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☐ Claim(s) _____ is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☒ Claim(s) 1-26 are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

Election/Restrictions

Restriction to one of the following inventions is required under 35 U.S.C. 121:

- I. Claims 1-19, 21 drawn to an oligonucleotide pro-drug having the formula shown in claim 1, classifiable in class 536, subclass 23.1. Election of this group requires a further election of a single nucleotide sequence as set forth below.
- II. Claim 20, drawn to an oligonucleotide pro-drug having the formula shown in claim 20, classifiable in class 536, subclass 23.1.
- III. Claim 22, drawn to a method of making a prodrug having the formula $R_2-L_4-L_3-X_1$, classifiable in class 536, subclass 25.3.
- IV. Claims 23-26, drawn to a method of treating a mammal for an undisclosed reason comprising administering the compound of claim 1, classifiable in class 514, subclass 44.

The inventions are distinct, each from the other because of the following reasons:

1. Inventions I and II are unrelated. Inventions are unrelated if it can be shown that they are not disclosed as capable of use together and they have different modes of operation, different functions, or different effects (MPEP § 806.04, MPEP § 808.01). In the instant case the different inventions are patentably distinct compounds. Invention I is directed to an oligonucleotide pro-drug having the formula shown in claim 1 while

invention II is directed to an oligonucleotide pro-drug having the formula shown in claim 20.

2. Furthermore, examining invention I together with invention II would impose a serious search burden. In the instant case, prior art searches of oligonucleotide pro-drugs having the structure shown in claim 1 are not coextensive with prior art searches of oligonucleotide pro-drugs having the structure shown in claim 20. Search of each of these inventions would require different key word searches of each compound using divergent patent and non-patent literature databases. The different searches would then require subsequent in-depth analysis of the unrelated prior art literature, placing a serious burden on the Office in terms of both search and examination. As such, it would be burdensome to perform examination of inventions I and II together.

3. Inventions I and III are unrelated. Inventions are unrelated if it can be shown that they are not disclosed as capable of use together and they have different modes of operation, different functions, or different effects (MPEP § 806.04, MPEP § 808.01). In the instant case the different inventions have different functions. Invention I is directed to an oligonucleotide pro-drug having the formula shown in claim 1 while the function of invention III is directed to a method of making a different prodrug.

4. Furthermore, examining invention I together with invention III would impose a serious search burden. In the instant case, prior art searches of oligonucleotide pro-drugs having the structure shown in claim 1 are not coextensive with prior art searches of methods of making an oligonucleotide pro-drug. Search of each of these inventions would require different key word searches of each compound used and each distinct method step using divergent patent and non-patent literature databases. The different

searches would then require subsequent in-depth analysis of the unrelated prior art literature, placing a serious burden on the Office in terms of both search and examination. As such, it would be burdensome to perform examination of inventions I and III together.

5. Inventions I and IV are related as product and process of use. The inventions can be shown to be distinct if either or both of the following can be shown: (1) the process for using the product as claimed can be practiced with another materially different product or (2) the product as claimed can be used in a materially different process of using that product (MPEP § 806.05(h)). In the instant case the process could be performed with a materially different product. For example, mammals can be treated with antibodies and small molecules.

6. Furthermore, examining invention I together with invention IV would impose a serious search burden. In the instant case, prior art searches of oligonucleotide pro-drugs having the structure shown in claim 1 are not coextensive with prior art searches of methods of treating a mammal with the compound of claim 1. Search of each of these inventions would require different key word searches of each compound and each distinct method step using divergent patent and non-patent literature databases. The different searches would then require subsequent in-depth analysis of the unrelated prior art literature, placing a serious burden on the Office in terms of both search and examination. As such, it would be burdensome to perform examination of inventions I and IV together.

7. Inventions II and III are unrelated. Inventions are unrelated if it can be shown that they are not disclosed as capable of use together and they have different modes of

operation, different functions, or different effects (MPEP § 806.04, MPEP § 808.01). In the instant case the different inventions have different functions. Invention II is directed to an oligonucleotide pro-drug having the formula shown in claim 20 while the function of invention III is directed to a method of making a different prodrug.

8. Furthermore, examining invention II together with invention III would impose a serious search burden. In the instant case, prior art searches of oligonucleotide pro-drugs having the structure shown in claim 20 are not coextensive with prior art searches of methods of making an oligonucleotide pro-drug. Search of each of these inventions would require different key word searches of each compound used and each distinct method step using divergent patent and non-patent literature databases. The different searches would then require subsequent in-depth analysis of the unrelated prior art literature, placing a serious burden on the Office in terms of both search and examination. As such, it would be burdensome to perform examination of inventions II and III together.

9. Inventions II and IV are unrelated. Inventions are unrelated if it can be shown that they are not disclosed as capable of use together and they have different modes of operation, different functions, or different effects (MPEP § 806.04, MPEP § 808.01). In the instant case the different inventions have different functions. Invention II is directed to an oligonucleotide pro-drug having the formula shown in claim 20 while the function of invention IV is to treat a mammal using the prodrug of claim 1.

10. Furthermore, examining invention II together with invention IV would impose a serious search burden. In the instant case, prior art searches of oligonucleotide pro-drugs having the structure shown in claim 20 are not coextensive with prior art searches

of methods of treating a mammal with the compound of claim 1. Search of each of these inventions would require different key word searches of each compound and each distinct method step using divergent patent and non-patent literature databases. The different searches would then require subsequent in-depth analysis of the unrelated prior art literature, placing a serious burden on the Office in terms of both search and examination. As such, it would be burdensome to perform examination of inventions II and IV together.

11. Inventions III and IV are unrelated. Inventions are unrelated if it can be shown that they are not disclosed as capable of use together and they have different modes of operation, different functions, or different effects (MPEP § 806.04, MPEP § 808.01). In the instant case the different inventions have different functions. Invention III is directed a method of making an oligonucleotide pro-drug while the function of invention IV is to treat a mammal using the prodrug of claim 1.

12. Furthermore, examining invention III together with invention IV would impose a serious search burden. In the instant case, prior art searches of methods of making an oligonucleotide pro-drug are not coextensive with prior art searches of methods of treating a mammal with the compound of claim 1. Search of each of these inventions would require different key word searches of each compound and each distinct method step using divergent patent and non-patent literature databases. The different searches would then require subsequent in-depth analysis of the unrelated prior art literature, placing a serious burden on the Office in terms of both search and examination. As such, it would be burdensome to perform examination of inventions III and IV together.

Restriction to a single nucleotide sequence

Claim 8 is subject to an additional restriction since it is not considered to be a proper genus/Markush. See MPEP 803.02 - PRACTICE RE MARKUSH-TYPE CLAIMS - If the members of the Markush group are sufficiently few in number or so closely related that a search and examination of the entire claim can be made without serious burden, the examiner must examine all the members of the Markush group in the claim on the merits, even though they are directed to independent and distinct inventions. In such a case, the examiner will not follow the procedure described below and will not require restriction. Since the decisions in *In re Weber*, 580 F.2d 455, 198 USPQ 328 (CCPA 1978) and *In re Haas*, 580 F.2d 461, 198 USPQ 334 (CCPA 1978), it is improper for the Office to refuse to examine that which applicants regard as their invention, unless the subject matter in a claim lacks unity of invention. *In re Harnish*, 631 F.2d 716, 206 USPQ 300 (CCPA 1980); and *Ex parte Hozumi*, 3 USPQ2d 1059 (Bd. Pat. App. & Int. 1984). Broadly, unity of invention exists where compounds included within a Markush group (1) share a common utility, and (2) share a substantial structural feature disclosed as being essential to that utility.

Claim 8 specifically claims SEQ ID NOS 1-4. It is noted that SEQ ID NOS: 1, 2 and 4 are closely related but these sequences are structurally and functionally independent and distinct from SEQ ID NO: 3 due to their unique nucleotide sequences. As such the Markush/genus of antisense sequences in claim 8 is not considered to constitute a proper genus, and is therefore subject to restriction. Furthermore, a search of more than one (1) of the sequences claimed in claim 8 presents an undue burden on the Patent and Trademark Office due to the complex nature of the search in terms of

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computer time needed to perform the search and the subsequent analysis of the search results by the examiner. In view of the foregoing, one (1) sequence is considered to be a reasonable number of sequences for examination. Accordingly, applicants are required to elect one (1) sequence from SEQ ID NO: 1 (and related sequences) and SEQ ID NO: 3. Note that this is not a species election.

Applicant is advised that the reply to this requirement to be complete must include an election of the invention to be examined even though the requirement be traversed (37 CFR 1.143).

Applicant is reminded that upon the cancellation of claims to a non-elected invention, the inventorship must be amended in compliance with 37 CFR 1.48(b) if one or more of the currently named inventors is no longer an inventor of at least one claim remaining in the application. Any amendment of inventorship must be accompanied by a request under 37 CFR 1.48(b) and by the fee required under 37 CFR 1.17(i).

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Tracy Vivlemore whose telephone number is 571-272-2914. The examiner can normally be reached on Mon-Fri 8:45-5:15.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew Wang can be reached on 571-272-0811. The central FAX Number is 571-273-8300.


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Patent applicants with problems or questions regarding electronic images that can be viewed in the Patent Application Information Retrieval system (PAIR) can now contact the USPTO's Patent Electronic Business Center (Patent EBC) for assistance. Representatives are available to answer your questions daily from 6 am to midnight (EST). The toll free number is (866) 217-9197. When calling please have your application serial or patent number, the type of document you are having an image problem with, the number of pages and the specific nature of the problem. The Patent Electronic Business Center will notify applicants of the resolution of the problem within 5-7 business days. Applicants can also check PAIR to confirm that the problem has been corrected. The USPTO's Patent Electronic Business Center is a complete service center supporting all patent business on the Internet. The USPTO's PAIR system provides Internet-based access to patent application status and history information. It also enables applicants to view the scanned images of their own application file folder(s) as well as general patent information available to the public. For more information about the PAIR system, see <http://pair-direct.uspto.gov>.

For all other customer support, please call the USPTO Call Center (UCC) at 800-786-9199.

Tracy Vivlemore
Examiner
Art Unit 1635

TV
December 9, 2005


J.D. SCHULTZ, Ph.D.
PATENT EXAMINER